

207.1 Expenditure Authorizations (E.A.)

Officers and employees of Caltrans use time sheets to record labor costs as hours worked. Time is charged to an expenditure authorization account number (see Accounting Coding Manual). Caltrans personnel must charge the correct E.A. for all encroachment permit work. The chart below summarizes the expenditure authorizations for encroachment permit activities.

E.A.	SUBJOB	DESCRIPTION	SPECIAL	ACTIVITY CODE	USER *
DESIGNATION					
937700	3ADMN	Administration		2003	ALL
		Safety Meetings		2049	ALL
		Staff Meetings		2003	ALL
		Training		2059	ALL
		Un-Offical time off		2099	ALL
937700	3EPPR	Review		2037	ALL
(Exempt Permits)		Review	7EX	2037	ALL
937700	3EPIC	Inspection		2037	ALL
(Exempt Permits)		Inspection	7EX	2037	ALL
937700	3EPFW	Field Work - State Forces		2037	ALL
937700	3EPCS	Customer Service		2003	ALL
937700	3EPAD	Appeals to the Director		2003	ALL
937700	3EPUE	Unauthorized Encroachments		2037	ALL
937700	3FILM	Filming -			
		Administration, meetings, customer serv.		2003	ALL
		Permit review, inspection		2037	ALL
		Training		2059	ALL
937050		Safety Meetings		2049	ALL

**Note: These activity codes are the most commonly used and appear under FA Eligibility and Agency Object on your time sheet.*

For time sheet charges, the special designation **7EX** is used in conjunction with E.A. 937700 Subjob 3EPPR or 3EPIC when the permit is statutorily or administratively exempt from fees.

Proper time sheet recording may include both reimbursable time and non-reimbursable time charges. Reimbursable time (the time for which we may collect permit fees) is charged to expenditure authorization 937700 and all Subjob designations. Non-reimbursable time is charged against those permits with “7EX” in the Special Designation.

Most likely a permit engineer will not spend eight hours of a day on reimbursable work. Therefore, the expectation is that a permit engineer will spend some time on administrative work or customer service and charge to E.A. 937700 and Subjob’s 3ADMN or 3EPCS, and that time shall be reflected on the time sheets.

207.2 Description of Expenditure Authorizations

Expenditure Authorization (E.A.) & Subjob numbers are used as follows:

937700 – 3ADMN *Administration*

All work related to the Encroachment Permit Program. Do not include actual work on individual permits (such as checking applications, etc.).

- Administering, supervising and reviewing the Encroachment Permit Program at Headquarters and in the Districts.
- Promulgating policy and procedures for use in issuing and inspecting encroachment permits.
- Clerical work related to encroachment permits.
- Staff Meetings.
- Safety Meetings
- Training
- Unofficial time off

Use these primary Activity Codes:

2003—Administration, Staff Meetings

2059—Training

2099—Unofficial time off

937700 – 3EPPR *Review* **7EX** for Exempt permits placed in the Special Designation

Capturing the time expended to review and process encroachment permit requests.

- Preliminary engineering review and site inspection.
- Plan review and approval, writing permit provisions, etc., performed by Permit staff and all other supporting units.
- Related activities in reviewing, monitoring and issuing encroachment permits, including meetings and communications with applicants.
- Preparation of Permit Engineering Evaluation Report (PEER).

- Preparation of a combined PSR/PR if construction costs are less than \$1,000,000, if required by the district.

Use this primary Activity Code:

2037—Work related to encroachment permit review

937700 – 3EPIC *Inspection and Control*
7EX for Exempt permits placed in the Special Designation

Inspection and control by any Caltrans personnel of actual encroachment work performed by permittee under an issued encroachment permit, including work done by the Engineering Service Center, Office of Materials Engineering and Testing Services (METS).

- Providing liaison, monitoring, and review at project site required to ensure the uniform application of all specifications and standards including meetings and telephone calls related to individual permits.
- Inspector's office time for documentation (diaries, Progress Billing/Completion Notices, etc.), maintaining files, and correspondence.

Use this primary activity code:

2037—Inspection related work (diaries, phone calls, meetings, etc.)

937700 – 3EPFW *Field Work*

Field work conducted by Caltrans forces, such as: materials and equipment, traffic control, markings, striping, or signing required for the permit.

Use this primary Activity Code:

2037—Work related to encroachment permit field work

937700 – 3EPUE *Unauthorized Encroachments*

All work related to unauthorized encroachments.

Use this primary activity code:

2037—Work related to unauthorized encroachments

937700 – 3EPCS *Customer Service*

This E.A. identifies time expended on encroachment permit related customer service work that cannot be charged to a particular encroachment permit.

- Preliminary conceptual meetings and communication with applicants regarding contemplated permit work prior to application submission.

- Meetings and communication with permit applicants to resolve disagreements regarding permit conditions.
- Responding to public inquiries.
- Time spent on activities so short or general in nature that recording them individually on a time sheet would be unproductive.
- Travel time to the encroachment site for inspection or review.

Use this primary activity code:

2003—Customer Service

937700 – 3EPAD *Appeals to the Director*

Approval of the Headquarters Encroachment Permit Branch Chief is required prior to use of this expenditure authorization. This expenditure authorization is used to capture the time expended to administer appeals to the Director after the District Director's denial of an encroachment permit application.

- Review and analyze appeal.
- Coordinate and process the appeal with district and/or headquarters personnel.

Use this primary activity code:

2003—Appeal related work

937700 – 3FILM *Filming*

All work related to encroachment permits for filming on State highways.

- Administering, supervising and reviewing the Filming permit program.
- Filming permit application processing, review, inspection.
- Accounting and clerical work related to filming permits.
- Meetings and communication with permit applicants, CHP, CFC, etc.
- Responding to public inquiries.
- Training

Use these primary Activity Codes:

2003—Administration, Meetings, Customer Service

2037—Permit review, inspection

2059—Training

937050 *Safety Meetings*

All work related to safety meetings.

Use this primary activity code:

2049—Work related to safety meetings

207.3 Special Designations

The special designation 7EX is used in association with statutorily and administratively exempt permits (Section 201.2A).

Special designations used for specific accounting reasons are discussed under specific permit requirements.

207.4 Specific Instructions for Inspection Staff

Inspectors must accurately report their time to fully recover costs associated with specific permits. They must charge the appropriate expenditure authorization (E.A.) and complete diaries, Progress Billing/Completion Notices, and permit review sheets in a timely manner.

District permit engineers must ensure that inspection staff time is reported correctly and that diaries agree with hours shown on Progress Billing/Completion Notice. Only in “Set Fee” permits may the “actual hours” shown on Progress Billing/Completion Notice and diaries vary from hours charged to permittees. The hours charged on AX Permits must agree with hours on diaries and Progress Billing/Completion Notice. Field inspectors on a monthly or quarterly basis must submit progress Billing/Completion Notices, especially for annual or biannual permits.

Permit inspectors must use E.A.s and activity codes listed as follows:

937700 – 3ADMN *Administration*

Although used primarily by supervisory and office staff, inspectors may use this E.A. for these situations:

1. Permit staff meetings. **Activity Code 2003**
2. Training. **Activity Code 2059**

Hours charged against this E.A. by inspectors are not charged to permittees.

937700 – 3EPPR *Review* **Activity Code 2037**

Time charged to this E.A. by reviewers must be documented in the reviewer’s review sheet and charged to applicant. Activities under this E.A. are:

1. Reviewing individual permit applications, including office visits and meetings with applicants.
2. Reviewing requests for permit riders.
3. Reviewing applications in the field and preparing comments.

937700 – 3EPIC *Inspection and Control* Activity Code 2037

All inspection work related to specific permits shall be charged to this E.A. and documented in diaries and Progress Billing/Completion Notices. This time is charged to permittees and must be used for:

1. On-site permit inspections, including discussions with contractors, physically checking a contractor's work, and coordinating with local agency, utility, or private engineering inspectors.
2. On-site notes for diaries.
3. Annual permit inspection, whether the site visit is planned or work by the permittee is being performed without notification and discovered during driving an inspection route. Time expended on annual permit inspection shall be compiled in diaries and submitted for monthly or quarterly billing.
4. Inspector's office time for maintaining files and general correspondence. These hours should be charged to individual permits.
5. Preconstruction meetings charged to individual permits.

937700 – 3EPUE *Unauthorized Encroachments* Activity Code 2037

This E.A. and activity is used by Maintenance personnel in charge of enforcing unauthorized encroachments. However, this E.A. also should be used by permit staff providing support to Maintenance regarding unauthorized encroachments.

937700 – 3EPCS *Customer Service* Activity Code 2003

This E.A. and activity is normally used for time expended that is not charged to a specific permit, for example:

1. Preliminary conceptual meetings and communication with applicants regarding contemplated permit work before application submission.
2. Meetings and communication with permit applicants before and after application submittal to resolve disagreements regarding permit conditions before permit issuance.
3. Responding to public inquiries.
4. Preparing studies and reports for district or headquarters use.
5. Travel time to and from the encroachment site while performing review or inspection.
6. Cursory review by Right of Way of proposed property dedication to the Department before encroachment permit application submittal.